Guidance on effective workforce involvement in health and safety

GUIDANCE ON EFFECTIVE WORKFORCE INVOLVEMENT IN HEALTH AND SAFETY

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FOREWORD

According to the UK Health and Safety Executive (HSE): "involving workers in health and safety leads to healthier and safer workplaces and produces a range of benefits for workers and managers".

Workforce Involvement (WFI) is generally used to describe the ways in which workers, including contractors, are encouraged to take part in discussion and the decision making process for managing health and safety at work. It can be difficult to engage workers and ensure effective involvement.

Recently there has been a move towards greater involvement of employees in decision making due to the business and safety benefits of increased workforce involvement. It is recognised that workforce ownership and participation in health and safety is essential for safety management to be effective, in particular in establishing a positive safety culture.

This guide has been developed for everyone who wants to find out more about WFI and improving its effectiveness. It is aimed at employers, managers, safety representatives, trade union officials, contractors and all workers within the petroleum and allied industries, but may also be applied elsewhere. The guide and the language used within it, has been written for the wide readership expected.

This guide details the issues surrounding WFI and describes a three step approach to its implementation and is supported by case studies and assessment exercises. The information contained within this guide could help improve safety management systems. The guidance focuses on health and safety but the information and techniques can also be used to help involve workers in other areas of work e.g. design, making decisions about environmental protection or considering ways to improve quality.

Further information and resources on workforce involvement and human factors can be found on the Energy Institute's Human and Organisational Factors Working Group webpage www.energyinst.org/humanfactors/wfi

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Suggested revisions are invited and should be submitted to the Technical Department, Energy Institute, 61 New Cavendish Street, London, W1G 7AR.

ACKNOWLEDGEMENTS

1 INTRODUCTION

1.1 WHO SHOULD READ THIS GUIDE

This guidance is designed for everyone who wants to find out more about Workforce Involvement (WFI) and how it can be improved and made more effective. It is aimed at employers, managers, safety representatives, trade union officials, contractors and all workers within the petroleum and allied industries. Therefore, this document and the language used within it, has been written for a wide readership.

Box 1

> **Key message:** This guidance can help improve the existing safety management system. The guidance focuses on health and safety but the information and techniques can also be used to help involve workers in other areas of work e.g. design. For example: making decisions about environmental protection or considering ways to improve quality.

This guide has been developed by the Energy Institute and Greenstreet Berman Ltd, for petroleum and allied industry organisations operating in the UK, but may also be applied elsewhere.

1.2 WHAT IS WORKFORCE INVOLVEMENT (WFI)?

Box 2

> **Key message:** Workforce Involvement (WFI) is generally used to describe the ways in which workers, including contractors, are encouraged to take part in the decision making process about managing health and safety at work.

WFI is about the relationship between managers and workers. The Health and Safety Executive (HSE) uses a model to represent this relationship and the different types of communications that exist.
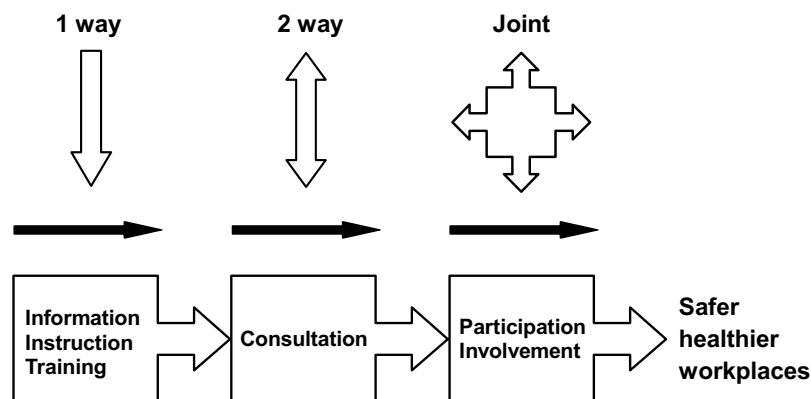
Figure 1: HSE workforce involvement model

This model shows that at its most basic level, communication between management and workers is simply about keeping workers informed so they can do their jobs.

The next more developed level, and what is required as a minimum in UK Health and Safety legislation, is about consulting workers to find out their views and opinions. Decisions at this level are made by managers based on their understanding of an issue and their interpretation of feedback from a well designed consultation process.

The last level, shown in Figure 1, represents the active involvement of workers in the decision making process. This means managers and workers seek agreement together on health and safety and how, as partners, they will achieve commonly shared objectives.

The final decision, and responsibility for health and safety, still ultimately resides with management.

This guidance focuses on improving this last level, providing help and information on how to involve workers more effectively in health and safety.

1.3 LEGAL REQUIREMENTS

In workplaces where the employer recognises a trade union, the employer must consult with trade union appointed safety representatives on health and safety matters. In workplaces where a union is not recognised, employees must be consulted on health and safety either directly or through representatives. The legal duties on consultation are covered within a number of key pieces of health and safety legislation, for example:

— The Health and Safety at work Act 1974 Section 2 subsection 6;
— The Safety Representatives and Safety Committees Regulations 1977;
— The Offshore Installations (Safety Representatives and Safety Committees) Regulations 1989, and
— The Health and Safety (Consultation with Employees) Regulations 1996.

Information on where to find out more about these regulations is provided in the 'further reading' section of this guide.

1.3.1 Management responsibility

Guidance provided by the HSE on the 1996 regulations states: 'that consultation involves listening to their views [employees] and taking account of what they say before any decision is taken'. It also states that workers are given both relevant information and an opportunity to express their views.

According to HSE[1] there are a number of indicators which demonstrate compliance with legal requirements, for example:

— workers confirm that they are consulted on health and safety matters;
— the existence of safety representatives, and
— the existence of a dedicated health and safety committee.

1.3.2 Worker considerations

Being involved in health and safety and expressing opinion does not make a worker responsible for health and safety. Employees are protected by law from any action against them, as a consequence of taking part in consultation.

There is, however, a duty on workers to co-operate on health and safety, drawing

management's attention to health and safety problems that might be putting themselves or colleagues at risk.

1.4   BENEFITS OF INVOLVING WORKERS IN HEALTH AND SAFETY

Effective WFI means ensuring that, where appropriate, workers are better involved in the decision making process.

Involving workers in this way makes sense because the people who carry out work are also well placed to help make decisions on how work might be improved. Unlike most managers workers often have direct experience of working conditions and operations.

"*It is vital to have a workforce which considers health and safety as part of daily work activities. Accidents will lead to a loss of reputation and may lead to a loss of certain customers*"[2] – Manager

Safety is everyone's responsibility and evidence from research and people's direct experience show how getting workers involved can bring significant business and safety benefits.

"*The improvements to health and safety are part of good business practice and seen to have a direct impact on the company's profitability*"[2] – Manager

WFI can also give an organisation a competitive edge because it is a way of tapping into a vital resource. This resource is the knowledge and experience that workers have about the work that they do and the environment they work in.

"*A manager is just one person, whereas the workforce is 50-60 with good ideas*"[2] – Operator

There are a number of reported business benefits from effective WFI, for example:
— one organisation, in a major hazard industry, reported that increasing WFI was associated with a 50% reduction in reportable accidents[2];
— organisations with formal safety committees have reported 40-50% lower injury rates [3];
— occupational illness was lower when employees were involved in safety[3];
— high performing companies use worker suggestions, ideas and feedback to improve performance[4], and
— an organisation reported that when workers were involved in equipment review and design there was a reduction in material and overtime costs[2].

WFI can lead to these types of benefits for a number of reasons, for example:

— **Compliance is improved** – workers involved in the development and review of policies and procedures have an interest in maintaining the rules they have helped to develop, and are more likely to support and comply with them.

— **Concern for safety is increased** – involvement highlights that everyone is responsible for safety, which in turn can mean individuals start to take greater responsibility for the health and safety of themselves and colleagues.

— **Morale and trust are improved** – working together can increase understanding and trust across an organisation.

— **Decision making is better** – decision making is better because, by involving workers, managers become more informed about the issues affecting their business.

1.5 BARRIERS TO GOOD WFI

Increasing involvement is not always straightforward and there are barriers which can affect the successful engagement of workers.

There have been a number of reasons identified for why WFI may not lead to successful outcomes, for example:

— **Lack of senior manager commitment** – senior managers do not demonstrate commitment to WFI, sending the message to workers that their views are not valued or, even worse, managers generate an atmosphere where there is fear of reprisal.

— **Poor problem diagnoses** – underlying causes to problems are not identified and the wrong solutions and methods to improve WFI are applied.

— **Poor planning** – involvement programmes are not planned properly and hence people become unclear about roles and responsibilities.

— **Poor resourcing** – individuals involved in the involvement programme do not have time to become actively involved.

— **Lack of feedback** – the effect and results of involvement programmes are not communicated so individuals are unaware of the benefits and how they can help improve health and safety.

— **Initiatives are not sustained** – initiatives come to an end and are not continued meaning long lasting benefits may be lost.

The failure of one WFI initiative can make it much more difficult to get workers involved again in the future. It also means that an organisation is missing out on a very significant resource and the business benefits this resource can bring.

This guide has been produced to help ensure organisations avoid the pitfalls associated with WFI programmes by providing:
— assessment exercises to help ensure accurate diagnoses of problems;
— guidance on how to improve WFI in health and safety;
— information on how to overcome key barriers to WFI;
— examples and case studies, taken from industry, to illustrate how methods to improve WFI have been practically applied, and
— guidance on sustaining WFI to help ensure long term benefits.

2   IMPROVING THE EFFECTIVENESS OF WFI

2.1   INTRODUCTION

Trying to improve WFI without a clearly thought out approach may actually make things worse rather than better. This section of the guidance therefore discusses some of the issues concerning WFI and provides information on how to make WFI effective and lasting.
First it is important to understand a number of important guiding principles:

— **Take time to review current WFI** – assess where WFI improvements can be made and what barriers might exist.

— **Collaborate when making decisions about WFI** – the process of involvement should be decided together and not simply imposed on workers by managers.

— **Plan involvement so it happens early** – workers should be able to contribute ideas, information and opinion early so their input makes a difference.

— **Involve the right people** – competent individuals, comfortable with their respective roles and responsibilities, should help to deliver involvement initiatives.

— **Use constructive dialogue** – discussions should be focused on finding solutions and continuous improvement rather than becoming stuck on problems and apportioning blame.

— **Be transparent** – the processes by which workers and employers work together are clear, communicated to everyone and open to scrutiny.

— **Provide regular feedback** – regular feedback is provided to everyone who has contributed ideas, on progress, process decisions and outcomes.

— **Be sensitive to cultural differences** – People coming from different cultural backgrounds might have more difficulties than others to feel empowered to speak up.

2.2   HOW TO USE THIS GUIDE

This guidance provides a simple three step approach to ensure that efforts to improve WFI are more likely to succeed:

1.   Assess levels of WFI and identify the enablers and barriers to involvement.
2.   Consider examples of activities to help improve WFI and then use these in your own workplace.
3.   Ensure that WFI is sustained and continues to lead to business improvements.

Each of these steps is explained in the next three sections and presented in Figure 2.

Ways to improve?

Where are we now?

Sustaining WFI

Assess current WFI in health and safety management	**Plan WFI improvements**	**Maintaining momentum**
	Select methods to improve WFI in Health and Safety Management	**Monitor and review**
	Address factors that influence WFI	
Assess the factors that influence WFI	**Get started**	**Set new targets**

Examples and case studies are provided in this guide for each of these stages

Figure 2: Three step approach for improving WFI

Using this approach is more likely to ensure WFI is effective. This means that involvement leads to positive outcomes which outweigh the cost of their introduction.

"*The costs are minimal compared to the benefits of improved awareness and understanding leading to safer actions and conditions*" [5] – Manager

To ensure WFI is a success both short-term and long-term effort, commitment and determination are required from all sides.
         Being committed and taking the time and trouble to get it right is more likely to lead to successful outcomes in the long run.

3   ASSESSING WFI – WHERE ARE WE NOW?

Ways to improve?

Where are we now?

Assess current WFI in health and safety management

Plan WFI improvements

Select methods to improve WFI in health and safety management

Sustaining WFI

Maintaining momentum

Address factors that influence WFI

Monitor and review

Get started

Assess the factors that influence WFI

Set new targets
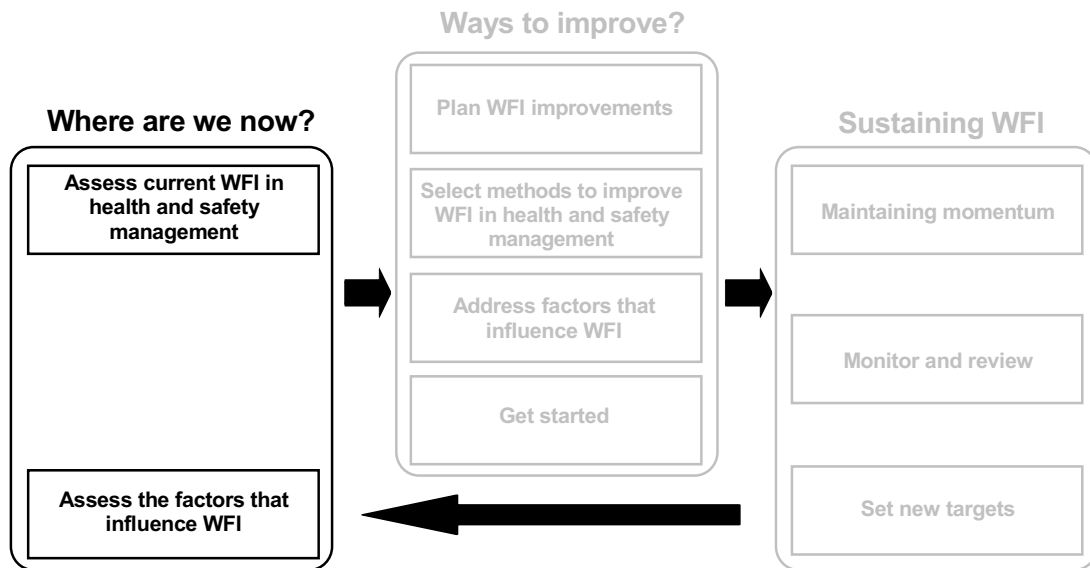
Figure 3: Improving WFI – where we are now

3.1   INTRODUCTION

There are two elements to assessing 'where we are now'(see Figure 3):

1.   Assessing the current level of WFI in managing health and safety (see Annex C);
2.   Assessing the factors that can influence the success and effectiveness of WFI (see Annex D).

The assessments are not aimed at providing a detailed analysis of an organisation's current levels of WFI. The purpose of the assessments is to get workers and managers thinking and talking about how to improve WFI and how this can be done.

To gain maximum benefit it is important to get a cross section of the organisation to complete the questions – ideally both managers and workers. This allows responses to be compared and any differences used to help understand and tackle any underlying issues.

It is also important to assure all individuals taking part in the assessment of complete confidentiality.

3.1.1   Using the assessments

The assessments are in the form of questionnaires and can be used in a number of ways:

—   As a questionnaire administered to workers and/or managers. All responses can be looked at together and then reviewed, with key trends being identified and discussed (see 4.1.1).
—   To structure or facilitate discussions in a focus group or workshop. A facilitator can work through each question asking delegates for their thoughts and opinions.

— To structure interviews – similar to the workshops or focus groups, the assessment questions can be used as prompts to aid discussion. Where possible interviewees should be asked to provide examples to support their answers.

3.2 ASSESSING INVOLVEMENT OF WORKERS IN MANAGING HEALTH AND SAFETY

3.2.1 Overview

This assessment covers key areas of health and safety management that the workforce can be involved with, such as:
— equipment (review and procurement);
— workplace design;
— task and procedure design;
— process safety;
— risk assessment;
— communication;
— policy;
— training, and
— audit and review.

Its purpose is to help an organisation review WFI in different aspects of health and safety management. It can help to identify where workers are currently involved and the areas where they are not involved, but could be.

3.2.2 Completing the assessment

Those completing the assessment should carefully read through each question and then consider the extent of WFI.

To decide on an answer it may help to think about occasions when involvement took place. It may also be helpful to read section 4.2 – which provides examples of different types of WFI.

Information on how to complete the assessment can be found in Annex C. Section 4.1.1 provides more details on how responses should be reviewed.

3.3 ASSESSING THE FACTORS THAT INFLUENCE WFI

3.3.1 Overview

This assessment covers six broad factors that can influence the success and effectiveness of WFI in health and safety:
— attitude;
— skills and knowledge;
— behaviours;
— resources;
— communication, and
— cultural differences.

More information about each of these factors is included in 4.3.

The purpose of this assessment is to help an organisation consider how each of these factors is affecting levels of WFI, either in a positive or negative way.

3.3.2   Completing the assessment

The individual or group completing the assessment should read each question carefully and record a rating on the scale provided.

The assessment also asks respondents to provide examples or reasons for an answer. This is to help identify any underlying issues and generate discussion, making it more likely that appropriate solutions are developed. It is important, however, that comments are not of a personal nature or make it possible to identify individuals.

Information on how to complete the assessment can be found in Annex C.
Section 4.1.1 provides more details on how these assessment responses should be reviewed.

4 WAYS TO IMPROVE WFI

Ways to improve?

Where are we now?	Plan WFI improvements	Sustaining WFI
Assess current WFI in health and safety management	Select methods to improve WFI in health and safety management	Maintaining momentum
	Address factors that influence WFI	Monitor and review
Assess the factors that influence WFI	Get started	Set new targets
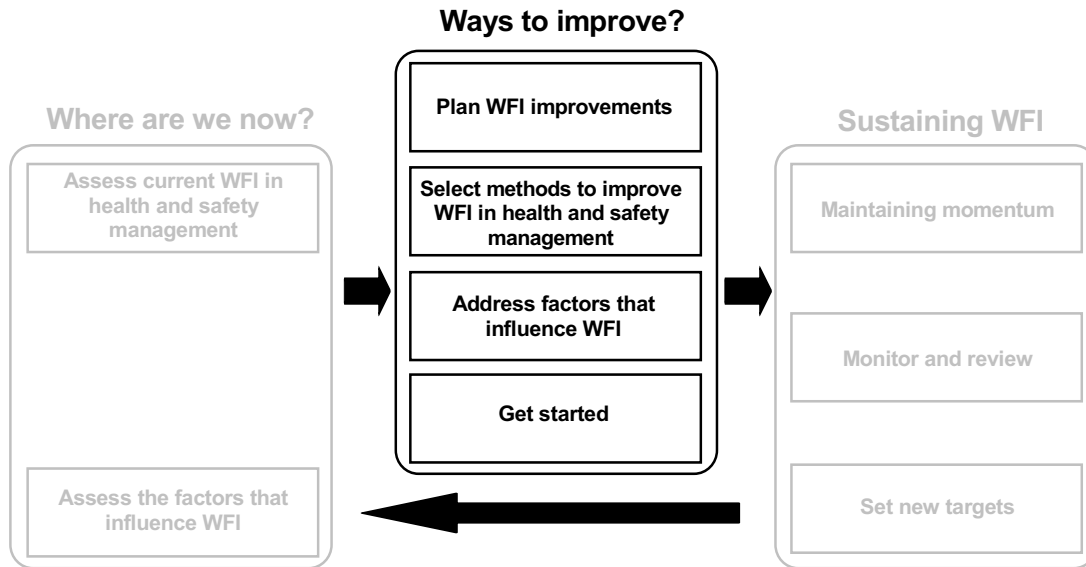
Figure 4: Improving WFI — ways to improve

This section provides guidance on ways to achieve more effective WFI, by providing practical information on (see Figure 4):

1. How to use the information from the previous assessment activities to plan WFI improvements.
2. The different methods and activities that can help to get workers involved more effectively in health and safety management.
3. How to overcome the barriers that may be preventing WFI and enhance the factors that increase the likelihood that WFI is effective.
4. Implementing changes to improve WFI.

4.1 PLANNING WFI IMPROVEMENTS

Box 3

> **Key message:** Plan improvements together with workers. For example workers should be involved in deciding on:
>
> — Where WFI improvements need to be made.
> — The activities to promote WFI.
> — Who will participate in these activities.
> — Who is responsible for leading on a particular activity.

Improving WFI is far more likely to be successful if workers have some say in how they should be involved. This makes sense because if you decide on an approach together then it is more likely to be supported. If you impose a decision then in the worst case scenario workers may actively resist it. If workers' opinions are valued, which is the point of WFI, then they should also be given a say in how involvement should happen. Involving workers in planning should also provide an opportunity to understand any fears or concerns they may have and why these might exist.
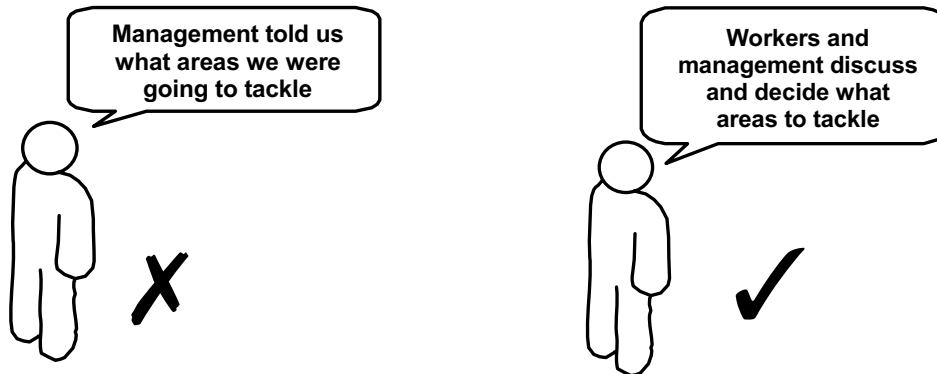
4.1.1 How to review the assessment results

Assessment results should be openly discussed between managers and workers. This should be done in a neutral forum where everyone has the freedom to express their view. The workshop is perhaps the best known approach, briefly described in the following box.

Box 4

Workshops

Workshops can be a highly effective way to discuss issues and decide upon action. It is important, however, to get the right people to take part. The workshop should include people who can provide a range of opinions, such as, managers, supervisors, workers and contractors. It is also important that a senior manager is present or someone with the authority to take forward outcomes from the workshop and make change happen. Ideally a workshop should be run by a facilitator. They must be objective, keep discussions focused and encourage open dialogue by ensuring that everyone has an opportunity to express their opinion.

If resources are not available for conducting a workshop the results can also be reviewed during committee meetings or team meetings.

The assessment methods provide one way to find out more about WFI but where possible it is important to consider other evidence from, for example:

— incident or accident data;
— surveys – safety culture surveys can help to reveal potential barriers to WFI, such as suspicion towards the intentions of management;
— audits;
— safety tours, and
— health and safety committee meetings.

The following example shows how reviewing accident data can be used to identify issues concerning operating procedures.

Box 5

Identifying solutions by reviewing accident data

There was a high rate of manual handling injuries.

A manager and two operators were provided with a full day to review the accident data and discuss findings. They identified that the problem was due to inappropriate operating procedures.

The team were then given responsibility for re-writing the procedures to make the task simpler and easier to undertake.

This helped to reduce risks to workers as well as making the process more efficient.

If managers and workers both completed the assessment separately it might also help to consider how responses are different.

Once discussions regarding WFI are complete then it is important that any outcomes are summarised. There should be three different types of output from these discussions overall:

1.   What are the areas of safety management where WFI could be improved and have the most beneficial impact?
2.   What are the barriers that might stand in the way of improving WFI in this area?
3.   What are the enablers that might make WFI more likely to happen?

Once these outputs have been considered it is advisable to develop objectives and start turning plans into actions.

4.1.2   Developing objectives

Once areas for improvement have been identified it is advisable to rank them and decide on a time scale for when they should be implemented. It may also be advisable to consider what other factors might influence decisions, for example, the updating of the safety policy or planned upgrade of an existing facility.

Objectives should be developed to help focus improvements. These can also be used to monitor and review whether improvements have been achieved. These objectives should be agreed following discussions and they should consider both long- and short-term goals. When setting goals consider the following points:
—   make sure everyone wants the same goals;
—   goals should not contradict each other;
—   write goals down and make them clear;
—   define goals precisely, leave no room for misinterpretation;
—   make sure goals are appropriate;
—   consider likely barriers and how these might be overcome;
—   provide some short term wins to help sustain interest and keep momentum and make the achievement of long-term gains seem more manageable.

4.1.3 Recruit champions

It is important to get support from influential individuals within the workforce. They should be used to help communicate and promote the need for WFI.

The following provides an example:

Box 6

Champions

A large company operates a health and safety management system with 15 key elements. Champions are used to cascade best practice information regarding these elements and drive forward initiatives.

These champions are from a range of positions such as operators, supervisors, engineers. They have the respect of both colleagues and senior management, ensuring a strong influence within the organisation.

4.2 EXAMPLES OF HOW TO IMPROVE WFI IN HEALTH AND SAFETY MANAGEMENT

4.2.1 Introduction

Once the areas for improvement have been selected it is important to start to consider ways to improve WFI. This section provides information on the different methods that can be used to enhance WFI in health and safety management. Examples and case studies have been used from industry to illustrate how these methods have been practically applied.

4.2.2 Equipment

One of the biggest influencers on the quality of work is the tools and equipment that workers and contractors use. When workers are asked what makes it more difficult for them to do their job one of the most commonly given reasons is deficient or inadequate equipment. Often, however, problems with equipment do not always come to the attention of management. This is because workers are very adaptable and will get by, for example, by bringing in their own tools and equipment or by trying to improve existing tools.
For this reason it is important to involve workers in the review and procurement of equipment. This is demonstrated by the following case study.

Box 7

Equipment design and review

One company calculated that accidents over the last four years cost them £71,000. The major cause of these accidents was related to the poor design of equipment used to carry materials.

An evaluation team was set up consisting of five operators, a supervisor and an engineer. The team was tasked with evaluating potential improvements and making recommendations.

The evaluation team decided to purchase new lifting equipment to reduce manual handling risk. This led to:

—   Reduced accidents.
—   Reduced overtime cost and absenteeism.
—   Increased productivity.

4.2.3   Workplace design

Changes to the work environment will have a direct impact on the work that people do. It is therefore advisable to involve workers particularly when building new or changing existing facilities.

It is important to provide sufficient time and resource for an employee involvement programme. Workers should be involved early in the design process. It is also advisable to provide opportunities for direct meetings with designer/architects or provide access to relevant and easily understandable information. Using physical models and visual representations may be better than technical drawings or plans.

Box 8

Involvement in helping to design a new facility

To ensure that workers had an opportunity to have a say in the design of a new facility, one organisation developed an employee involvement programme. The scope of the involvement was to hold workshops with team leaders to discuss what aspects of the design were fixed and where workers might have input.

Team leaders were then taken to another plant where a similar new facility had recently been built and which was to form the basis of the new design. They were then asked for their input and to say what the new facility should include and what was less necessary.

Following an initial first draft of the facility design, all workers were invited to review the drawings. Comments were then collected by team leaders and discussed at the next design meeting. The architect was also invited to consider and respond to these comments e.g. what was or was not practical.

This involvement led to a significant change to the facility, not proposed by the architect, which improved efficiency.

Involvement can also help to improve workspace design on a day-to-day basis and not just when a new facility is being built. This is illustrated by the case study below.

Box 9

Day-to-day improvements

Workers were encouraged to make suggestions on how to improve the work environment and then take the lead on making them happen. One idea that was approved, for example, was the provision of local heaters. The employee who made the suggestion was given the responsibility and resource to buy the new heating equipment. It was reported that this was an effective way of making change happen.

4.2.4 Task and procedure design

It is important to ensure that when tasks are being re-designed or procedures re-written workers are closely involved. If workers are involved in re-designing a new procedure, rather than having it imposed on them, then they are far more likely to adopt and support the change.

If workers are not involved then they may fear the consequence of how their job might be changed. In some cases they may even be concerned that they could lose their job. People worried in this way can actively resist change. The following example shows how one organisation successfully involved workers to change procedures.

Box 10

Operators review procedures

An organisation found that many of their operating procedures were not relevant for current working practices – for example Personal Protective Equipment (PPE) described in the procedures was out of date.

To ensure procedures were up to date an 'employee' participation initiative was implemented to allow operators to review and re-develop procedures.

The shift manager allocated teams to review specific procedures. Each team had two copies of the allocated procedure, one of which they amended in line with how they actually completed the job.

The shift manager reviewed the procedures before they were signed off and put in place.

The initiative helped ensure that everyone was aware of the correct procedures and benefited the organisation by helping to reduce operating costs and increase efficiency.

Changing the way work is carried out can take time because people often have a set way of working and can be reluctant to change or fear how change might affect their job. It is therefore important to carefully plan how the change will happen. This is illustrated by the following example:

Box 11

Planning how to involve workers when changing work practices

To ensure that a new work practice was adopted one organisation outlined a staged approach that involved workers:

— The organisation identified an issue, e.g. a particular way of working was inefficient, took a long time and was inconsistent;
— A workshop was set up involving a range of personnel (manager, team leader, operator etc.) to consider the issue;
— A problem solving technique was used to identify a more efficient way of working;
— Senior management were involved to approve and agree the proposed changes;
— A plan of action was decided upon;
— A champion was allocated (a team leader who took ownership) – this was a full time responsibility so they did not get dragged into other day-to-day work;
— Information on the new way of working was effectively communicated to workers and contractors;
— Required training was provided on the new way of working;
— Audit and review was conducted to monitor and optimise new work practice.

The organisation found this method was a very good approach for adopting new ways of working. In addition, involving workers from the outset ensured their buy-in.

4.2.5 Process safety

Process safety is a way to identify and assess the hazards posed by dangerous substances at work and consider ways to prevent certain events from occurring, for example, leaks, spills, equipment malfunctions, over-pressures, excessive temperatures, corrosion, metal fatigue, and other similar conditions.

The Texas City refinery tragedy in March 2005 was a process safety accident. A key finding in the Baker Report [7] was the need to improve process safety management systems and give workers more empowerment.

"*A good process safety culture requires a positive, trusting, and open environment with effective lines of communication between management and the workforce, including employee representatives*" – Baker report 2007

One way to achieve this is to involve workers better in process safety hazard analysis and risk assessments. Doing so can help workers to learn more about the site and contribute to improving design and operability.

Box 12

Process Hazard Analysis (PHA)

In order to enhance process safety within a facility an organisation decided to carry out Process Hazard Analysis (PHA) involving workers across the plant.

A team was selected comprising those with experience of operations and/or PHA. The manager of the area under review produced a charter that detailed objectives, scope, roles and responsibilities and formal communications for the PHA.

The PHA team (operators, engineer, trainer, technical safety specialist) identified potential hazards and issues. These were then discussed within the PHA meeting.

Recommendations were made to help combat the facility's significant areas of risk, for example recommending the sprinkler system for fire protection was put on a routine check.

When this check was conducted, two burst water pipes were found and fixed.

All recommendations were formally communicated through team briefings and fully supported by management.

4.2.6   Risk assessment

Tackling health and safety in the workplace is everyone's responsibility. One of the best ways of getting workers and contractors involved is by getting them to participate in hazard spotting and risk assessments. Those that carry out the work are often in the best position to spot unsafe conditions and make recommendations about safer working.

Box 13

Hazard spotting

In one organisation a formal hazard spotting programme was introduced. Hazards were recorded by workers and then reported to managers in weekly safety meetings.

To enhance hazard spotting, workers were provided with training. There was also an incentive scheme to encourage hazard reporting.

Overall the programme resulted in improved safety performance.

Joint investigations involving workers and safety specialists can also help to improve the conditions of work, making it safer.

Box 14

Accident/near miss investigation

Case study tool box talks are used to openly discuss accidents, incidents and near misses. The talks detail the facts and findings and require operatives, engineers, supervisors and managers to analyse the case study and consider ways to prevent similar accidents occurring in the future.

Outcomes from the talks are shared with other departments and good ideas recorded by the safety department.

4.2.7 Policy

Health and safety is an organisational wide issue and it is important that all workers are aware of and support their organisation's health and safety policy.

A good way to achieve this is for management to involve workers in creating shared policy objectives, for example, by seeking their views on health and safety targets and priorities.

This can be done even at senior board level with a designated board member meeting with worker representatives when drafting or revising an existing policy.

Whilst it remains Directors' duty to finalise health and safety policy, involving workers is likely to improve the policy and its relevance to workers. Furthermore if workers feel involved and consulted, they will be more likely to support and promote the objectives contained within it.

This example illustrates how an organisation helped to get workers involved in developing the health and safety policy.

Box 15

Developing policy

Safety representatives were provided with three days of training on policy and procedure writing. Managers and representatives then worked together to re-write the policy statement, developing their own safety procedures to meet the company's needs.

The development of the policy was carefully planned in stages, with continuous feedback provided to the workforce. The safety procedures were later incorporated into the Company Procedures Manual.

4.2.8 Communication

It is important to involve workers and also contractors on how best to communicate effectively on health and safety matters. Methods that can be used include, for example: team meetings; newsletters and company magazines; posters and notice boards; informal discussions and health and safety meetings.

Workers should be involved in deciding which methods they think will be effective and which communication methods do not work so well. Workers can also be involved in writing the information on health and safety as well as deciding on the best way to deliver it. This is illustrated by the following example.

Box 16

Developing a health and safety newsletter

Workers were involved in developing a newsletter to communicate on health and safety issues. Workers chose to use a combination of humour and shock tactics because this was believed to be the best way of keeping the reader interested. The newsletter was widely read, providing information on injuries and ways of working more safely.

4.2.9 Health and safety training

Workers and contractors are more likely to value training if they believe it is appropriate and relevant to their requirements.

It is therefore important to provide workers with an opportunity to have input on decisions regarding training. Workers, for example, might be involved in assessing what health and safety training is needed, who should receive the training and the best way to deliver it. This example shows how workers and trainers develop training packages together.

Box 17

Training

In one company workers are involved in developing new training packages and updating existing ones. Operators help to carry out training needs analysis and decide on training requirements.

Final decisions are reached with the support of training consultants who provide specialist information on developing and delivering training.

4.2.10 Monitoring and auditing

Managing health and safety effectively also means assessing and monitoring health and safety performance. This is critical in helping to decide whether health and safety performance has improved, stayed the same or deteriorated. Like all aspects of health and safety management it is important to ensure workers are involved in monitoring performance. One way to do this is to involve workers in carrying out audits or, reviewing incident and accident data (see 4.1.1).

Workers can also be involved in making decisions about how to tackle any issues that the audits might have revealed. They can also help to decide on whether to revise or set new targets.

Box 18

Auditing

During a safety workshop, workers asked to be more involved in auditing and assessing safety.

Volunteers were provided with basic training in how to carry out 'audits' and appropriate tools, such as checklists. Monthly meetings were then held to discuss the findings.

Workers were involved in a range of audits concerning: personal protective equipment, manual handling, permits- to-work, environment issues and housekeeping.

Involving workers in these audits helped to raise awareness of health and safety and improved safety performance.

4.3 ADDRESSING THE FACTORS THAT INFLUENCE WFI

4.3.1 Introduction

Once the areas for improvement have been selected and methods chosen to try and increase WFI, it is important to consider the factors that can influence the effectiveness of WFI. This section again includes examples and case studies to show the practical steps taken by organisations to address these factors.

4.3.2 Promoting positive factors

If earlier assessments have shown that there are lots of factors that have a positive influence on WFI then this is very encouraging. For example, the results from the assessment might show a good level of trust between management and workers.

Positive findings should be promoted and communicated to everyone. Suggestions on how to do this are provided in Box 19.

Box 19

Promoting positive findings

There are a number of methods for promoting the positive news about the factors that help to enable WFI be more effective, for example:

— Newsletters, company magazines, posters, notice boards;
— Rewards (non-monetary), and recognition for those supporting WFI;
— Senior management demonstrating continued commitment to carry on supporting factors that enable WFI;
— Discussions at team briefings and meetings about the benefits of the positive factors that influence involvement.

If the assessment has not identified any barriers to WFI, for example no factors are rated below 3, then implementing methods to improve WFI in managing health and safety should be successful. If, however, any barriers have been identified then it is advisable to address them before proceeding with initiatives to improve WFI.

Box 20

> **Key message:** If barriers are not addressed then it is likely that WFI will not be so effective or may even have no positive outcomes at all.

4.3.3 Tackling barriers (overcoming the factors that might make WFI less effective)

This section provides information and case studies to illustrate how to tackle the factors that can be barriers to effective WFI.

4.3.3.1 Attitude

For effective and sustained WFI to happen, both managers and workers must have the right attitudes. There needs to be mutual trust and belief that the motives for WFI are genuine.
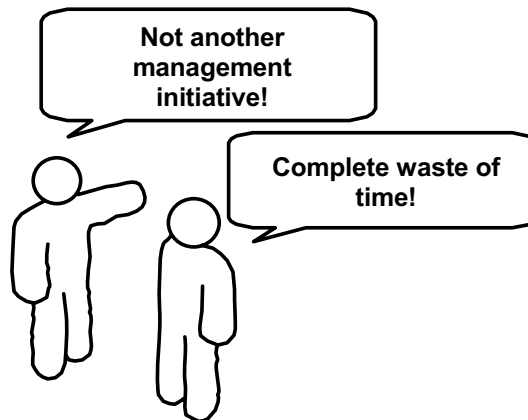
Management, in particular, must be prepared to respond to the outputs from WFI and adapt their behaviour and working methods accordingly.

Distrust, lack of motivation, inability and/or unwillingness to change will inhibit WFI in health and safety.

"*One of the biggest problems with introducing WFI is the level of cynicism which it is necessary to overcome. This can only be achieved through being open with people. The company must not have a hidden agenda and should not hide problems from the workforce as they will see through this and it will discredit what you are trying to achieve*"[5] – Manager

A proven way to help improve trust and break down suspicion is for workers and managers to take part in joint activities and events away from work. When people are removed from the normal work setting or take part in activities they wouldn't normally do, they are more likely to feel free to express their opinion. This is because they are not defined and constrained by their normal roles. There are also likely to be fewer distractions. Organising events and taking part in joint activities will also demonstrate the commitment of management to making involvement work.

Box 21

Developing trust

Specially arranged onshore meetings were used to develop trust between managers and workers based on an offshore platform.

The meetings, held at a hotel, helped to uncover some underlying problems because those involved reported they felt more freedom to express concerns.

There was also less distraction and less opposition from individuals who may not have taken WFI initiatives seriously in the past. The events also helped to demonstrate to workers that management were committed and took involvement seriously.

Workshop exercises can be undertaken to help managers and workers jointly work together to identify issues. This can lead to mutual understanding and help to develop trust. If the experience is positive participants may also be more likely to support future WFI programmes.

Box 22

Safety culture maturity model workshops[8]

The safety culture maturity model workshop provides a great method to introduce safety and get people thinking about the issues.

The model consists of 10 elements with five cards for each element to indicate what level of safety a business is at.

Within the workshop managers and workers jointly work through each element using the cards to provide a score. Scores are discussed and solutions developed.

For example if a score 'very low on trust' is provided delegates would look to explain why that is and then decide together what to do about it.

This helps to get management and workers 'buy-in' to the concept of tackling safety and participation because ratings are made through agreement.

4.3.3.2 Skills and knowledge

Workers who are well informed are likely to be more comfortable and confident in being involved in health and safety.

"*A larger number of issues are raised as employees are more aware of the risks as a result of health and safety training*"[5] – Manager

They will also be more likely to make a worthwhile contribution. Ensuring individuals have the necessary skills and knowledge is also beneficial for workers and can make them feel more valued.

The simplest way to improve skills and knowledge and develop understanding of health and safety issues is by providing training. This is illustrated by the following case study.

Box 23

Training

A programme of one-day human factors/behaviour training courses was provided for all line managers and safety representatives. In addition managers participated in an interactive course that focused on understanding human behaviour, errors and violations and their underlying causes.

The programme helped to raise awareness of safety and behavioural issues and helped delegates to identify ways work could be improved.

The training formed a key part of the overall improvement strategy as it secured management understanding and support.

The training resulted in improvements in all areas of health and safety performance.

Training can also be provided to help build competence in techniques such as risk assessment.

Box 24

Risk assessment

The management of maintenance activities includes providing workers with training on how to carry out risk assessments. Training was also provided on how to prepare method statements specifying systems of work and controls that should be applied prior to commencing a job.

The training helped provide workers with new skills and increased opportunities to identify issues and develop safety measures.

4.3.3.3 Resourcing

Adequate resourcing should be provided, for example providing rewards for good suggestions.

Providing adequate resources also means providing workers with time away from day-to-day duties so they take part in discussions and meetings. In some cases it may not be practical for workers to be available to participate during normal working hours. If meetings or workshops occur outside normal hours then workers should be compensated with overtime pay or time off in lieu. The following case study shows how incentives can help to increase participation.

Box 25

Incentives for involvement

An organisation set up continuous improvement teams to investigate safety performance issues and develop solutions.

It was agreed that team members were paid overtime, if their commitment to the initiative required them to work longer hours. This avoided potential production schedule conflicts.

The organisation also provided rewards for good ideas to improve health and safety.

Providing these types of incentives increased participation and commitment to involvement activities.

This case study shows how an organisation provided their safety representatives with the resources they needed to fulfil their role and undertake their duties.

Box 26

Resources

One company ensures that safety representatives have all the necessary resources to carry out their duties.

Detailed internet resources are provided that allow safety representatives to research topics, helping to develop knowledge and aid solution development.

The organisation's intranet also allows safety representatives to discuss issues and share good practice through an electronic forum.

These resources increased the effectiveness of safety representatives and demonstrated the company's commitment to WFI and improving health and safety.

4.3.3.4 Behaviour
Very often, how people behave reveals far more about them than what they say. Workers and particularly managers need to demonstrate through their actions that they are committed to WFI. For example, this might mean managers ensuring they are present at meetings (and make a positive contribution) or workers taking time away from work to take part in safety tours.

Showing commitment through appropriate behaviour can help maintain momentum and the motivation to make WFI succeed.

Role play can be used to help managers and workers reflect on behaviour as shown by the following case study.

Box 27

Using scenarios to act out safety behaviour

Workers and managers are involved in discussions about policies and procedures and the importance of taking responsibility for health and safety. This helps individuals to understand the types of behaviours that should be encouraged and discouraged.

Scenarios are then acted out and delegates are asked to reflect and ask questions about the behaviour exhibited by the actors. Following discussions delegates identify positive and negative behaviour acted out in the scenarios.

The aim of the workshop is to help managers and workers understand that changing their own behaviour can help to improve health and safety.

Example scenarios include:

— The "mouse hole" incident; where an individual was pulled through the "mouse hole" on an oil platform.
— Gail's shoes; an actress plays the wife of a worker who died in an accident.

For more information about the scenarios visit www.aktproductions.co.uk

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Job rotations can also help managers and workers to better understand health and safety and the importance and benefits of involvement; this is illustrated by the following case study.

Box 28

Swapping roles

A process operator swapped roles with a manager in the health and safety department. The operator was involved in:

— Reviewing processes and identifying the causes behind non-compliance.
— Producing newsletters, posters etc… to communicate issues.
— Coordinating the results of 'SWOT' analysis (strengths, weaknesses, opportunities and threats).

The job rotation helped managers and workers to learn more about each others' roles. It also helped managers to appreciate how the knowledge and expertise of workers can help tackle safety-related problems.

4.3.3.5 Communication

It is important to provide feedback on any findings or decisions that have been made as a result of WFI.

For example, if people have taken part in discussions about purchasing new equipment they should be informed about what equipment has been ordered and why, especially when equipment is either not ordered or different equipment ordered.

Clear communication on WFI helps to make decision making transparent, which can have a positive effect on motivation and satisfaction.

We are regularly informed of initiatives, what is happening and how we can help

Face to face discussions allow managers and workers to jointly discuss health and safety. These can be especially productive when sessions are led by workers as illustrated by the following example:

Box 29

Tool box talks led by workers

One company used tool box talks led by workers to regularly communicate and discuss issues, such as lessons learnt from accidents, incidents and changes to work systems.

For example in one session an individual described how they were injured carrying out work. This was followed by discussions on conducting risk assessments before starting work.

These tool box talks provide participants with the opportunity to voice concerns and help develop solutions.

4.3.3.6 Cultural difference – national and ethnic

Cultural differences, whether national cultures or ethnic can affect perceptions of roles and responsibilities within a company and how workers and employers work together in partnership.

Identifying, understanding and managing such differences can help reduce potential conflicts and help workers contribute ideas, information and opinions in a proportionate and constructive way. This example shows what can be done to help manage cultural differences.

Box 30

Managing cultures

A company wanted to improve health and safety but they were finding it difficult to involve all workers because different languages were spoken in the workplace.

Following an initiative a number of special measures were introduced to improve WFI, for example:

—   Providing all workers with information (in their own languages) on how they could contribute to improve health and safety.
—   Ensuring the health and safety committee had a representative from each different language group.
—   Risk assessment training provided in relevant languages.

The company reported an improvement in communications between workers and employers and increased reporting of health and safety issues.

4.4 GETTING STARTED

4.4.1 Introduction

Once the areas for improvement and forms of WFI are selected, it is important to plan how this will happen. Decisions on this plan should again be made jointly between managers and workers.

"*If operators are involved with the initiation or development of a project they will feel more ownership for it. Their involvement helps to get things right first time and hence reduces costs*"[6] – Manager

4.4.2 Getting a team together

The best way to achieve the objectives of an involvement programme is to create a team made up of employees with different skills and abilities. The following example explains how one organisation achieved this.

Box 31

Self-managed teams

As part of an organisational change programme, self-managed teams were introduced. The teams consisted of multi-skilled staff, each with a team leader. Team leaders become responsible for safety activities that had previously been controlled by the health and safety group.

Health and safety coordinators were also appointed to help plan each team's activities.

This approach led to many more changes being introduced to improve health and safety and this also coincided with a reduction in accidents.

For a team to work effectively it must have:
— clear and realistic roles, responsibilities, accountabilities and tasks;
— a clear team leader;
— decision-making processes in place which are clearly understood by all team members;
— processes to review the performance of the team;
— clear and adequate communication channels;
— resources to support performance, and
— clear expectations for performance and involvement.

A RASCI (responsible, accountable, supportive, consulted and informed) chart can be a useful tool to help select a team.

4.4.3 Setting the boundaries for involvement

It is also important to set the boundaries and scope of the initiative. Consider, for example:
— how long the initiative will last e.g. is it limited by time or will it be a permanent change?
— will the initiative involve a department, one location such as an oil platform or will it be introduced company wide?, and
— will different influencing factors be tackled together or in phases e.g. improve health and safety knowledge first and then look to develop better trust?

4.4.4 Piloting the chosen method

It may also be advisable to consider a pilot in one area before going company wide.

"*Piloting in one area is necessary to iron out any bugs and learn from mistakes. Launch the programme gradually by department, so that commitment builds and mistakes are less drastic than if the programme is done all at once across the site*"[5] – Manager

Piloting an approach in one or two sites can help to identify potential problems, allowing any issues to be tackled prior to a full scale implementation. It can also be used to demonstrate successes and get future 'buy-in' and support.
A number of issues should be considered before piloting, for example:

Scope:
— which sites should be included?, and
— who should take part in the pilot and what support is to be provided?

Length:
— how long will the pilot last for?

Responsibilities:
— what are the key roles and responsibilities for the pilot?, and
— who will be responsible for managing the pilot?

Results:
— how will feedback on the pilot be gathered?
— how will performance be assessed and who will carry out assessments?, and
— how will findings and progress be communicated?

4.4.5 Selling WFI

It is important to consider how to sell WFI to the workforce, to create buy-in and commitment.

A useful approach is to consider naming the initiative and stating its goals and how long it will run for. Naming the initiative can raise its profile and help bring people together who support it. A named initiative is also easier to promote and market around the organisation.

When selling WFI it is also important to consider:
— who is the target audience – how will their interest be gained?
— who will actively "sell" the initiative? (champions, see 4.1.3);
— which parts of the initiative should be promoted? – what are the key selling points?
— how will the initiative be communicated to others (posters, newsletters, and presentations)?
— who will be the point of contact if people wish to learn more about the initiative?

5 SUSTAINING WFI

Ways to improve?

Where are we now?

| Assess current WFI in health and safety management |
| Plan WFI improvements |
| Select methods to improve WFI in health and safety management |
| Address factors that influence WFI |
| Get started |

| Assess the factors that influence WFI |

Sustaining WFI

| Maintaining momentum |
| Monitor and review |
| Set new targets |
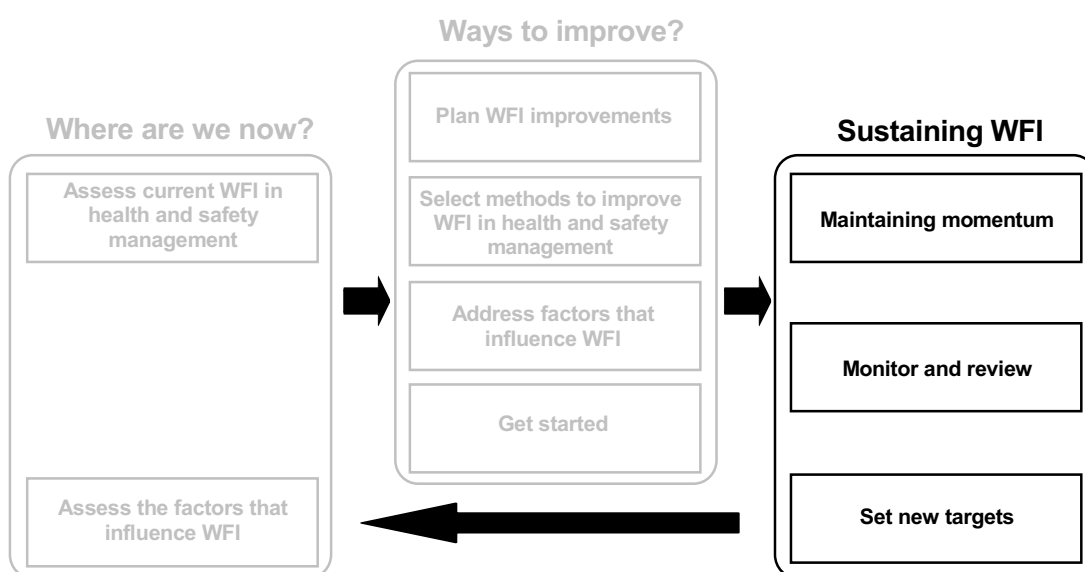
Figure 5: Improving WFI – sustaining WFI

This section provides guidance on three key activities that help sustain WFI:

1. Maintaining momentum through the life-cycle of a programme.
2. Reviewing and monitoring performance.
3. Setting new targets once a programme is complete or coming to an end.

5.1 MAINTAINING MOMENTUM

There are a number of different ways to help maintain momentum.

5.1.1 Providing regular feedback on progress and communicating success

Providing feedback allows people to understand the benefits of their contribution. This in turn helps maintain motivation and commitment.

"*Once you have involved employees, you have to take on board what they are saying and use their ideas – you cannot partially involve them. Employees have to see that their involvement has influenced its outcome. If an idea is wrong, fine, but go back and explain to that person why it is not a good idea*"[9] – Manager

It is advisable to consider using several different methods to provide feedback, for example:
— staff meetings, committee meetings;
— posters, newsletters, company magazines;
— tool box talks and team briefing;
— informal discussions, and
— forums and workshops.

Below is a novel way, used by one organisation, to provide feedback:

Box 32

Safety week

The aim of the safety week is to focus the attention of all employees on health and safety activities and issues.

Employees work in small teams to come up with ideas and plan events. At the end of the week feedback is provided on the event and the best ideas.

Employees can immediately see how they can have a positive impact on improving health and safety. The safety week also helps to raise awareness of health and safety.

5.1.2 Showing visible and ongoing commitment

It is important that managers and workers show visible and ongoing commitment.

"*Managers need to be seen. Once the workforce sees that commitment they will be willing to participate*"[8] – Manager

Behaviour that demonstrates commitment includes:
— promoting WFI both formally and informally (conversations and presentations, newsletters, team briefings);
— 'walking the talk' – setting an example through actions (attending involvement meetings, taking an active role in duties and contributing ideas);
— providing time allowance so workers can carry out extra duties associated with involvement;
— actively supporting individuals who wish to learn more about the programme or become involved (providing information, encouraging people to come to meetings), and
— providing regular feedback (acknowledging contributions, encouraging comments and opinions from individuals not directly involved in the programme).

5.1.3 Managing expectations

It is also important to manage expectations to ensure people do not become disappointed and lose interest.

There are a number of methods to help manage expectation, for example:
— ensure everyone is made aware of the scope and goals of the initiative;
— everyone understands their roles and responsibilities and what is expected of them;
— highlight contributions and explain why suggestions may not be used, and
— understand personal goals – find out what individuals want and try and help them achieve these goals or help them develop new ones.

5.1.4 Rewarding engagement

Rewards can help maintain motivation and encourage others to participe in involvement programmes. They should be valued by the workforce and be a true incentive rather than a token reward.

Types of rewards to encourage involvement include:
— overtime payments for taking part in an initiative;
— financial awards – extra payment for safety suggestions, qualifications achieved, bonus for high safety performance;
— payment to charity, and
— non financial rewards – (gifts for achievements and participation).

5.2 MONITOR AND REVIEW

The monitor and review process assesses how well an initiative has achieved the planned objectives and what lessons can be learned for the future. Findings should be communicated to everyone, detailing successes, issues, benefits and next steps.

Methods to monitor and review objectives include, for example:
— review meetings – these can be carried out with the original team members to compare and discuss the outcomes against the stated objectives;
— in-house questionnaires – developed to gain specific feedback on the WFI initiative and assess whether the desired benefits have been achieved;
— off-the-shelf questionnaires – use safety culture climate surveys to assess overall improvements to WFI;
— review relevant performance data – as part of the review process it can be helpful to review relevant performance data (incidents, accidents, system failures, near miss reporting etc.) to assess performance benefits, and
— focus groups or interviews – discuss the benefits of the initiative and gain general feedback.

The following case study shows the method one organisation used to review performance.

Box 33

> **Reviewing performance**
>
> Safety representatives have the responsibility to collect, review and present team performance data to the safety committee.
>
> They gather data on progress measured against targets for: number of unsafe acts; incident rates; downtime and learning events.
>
> Managers co-operate and liaise with the representatives and participate in the safety committee to help drive through any outcomes that result from the review.

5.3 SET NEW TARGETS AND OBJECTIVES

When an initiative finishes or is coming to an end, setting new targets and objectives will help maintain the momentum. This should be a joint process between managers and workers.

To set new targets:
— identify improvement areas – use findings from the monitor and review phase to identify new areas for improvement;
— set new targets and objectives – new objectives, goals and timescales for completion should be jointly identified and developed;
— consider approach and launch – managers and workers should decide on how to bring about improvements and the best way to launch a new initiative or next phase of work.

The following case study provides an example of how one organisation developed new targets:

Box 34

> **Setting new targets**
>
> Committee meetings are held to assess performance, using performance data and feedback from employees.
>
> Achievements are acknowledged and communicated throughout the organisation.
>
> Areas where performance decreased or did not improve are also identified.
>
> Actions are undertaken to identify why performance had not improved, for example by gathering more information or carrying out further data analysis.
>
> A committee meeting is then held to review these data, identify approaches, set new targets and start new initiatives.
>
> Committee members have a responsibility to ensure this information is clearly communicated to members of the organisation to ensure maximum buy-in.

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B.2   INTRODUCTION TO WFI

The HSE website provides a good introduction to WFI.
http://www.hse.gov.uk/involvement/index.htm
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http://www.hse.gov.uk/involvement/hscdeclaration.pdf

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B.4   EXAMPLES OF METHODS USED BY INDUSTRY TO IMPROVE WFI

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B.5   INFORMATION ON THE OBSTACLES AND BARRIERS TO WFI

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B.6   GUIDANCE ON BEHAVIOUR MODIFICATION

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http://www.energyinst.org.uk/heartsandminds

Step Change in Safety personal responsibility for safety.

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B.10 LEGISLATIVE DOCUMENTS

The following key WFI legislative documents can be found on the following websites:

The Health and Safety at work Act 1974 Section 2 subsection 6;
http://www.hse.gov.uk/legislation/hswa.pdf

The Safety Representatives and Safety Committees Regulations 1977;
http://www.hse.gov.uk/workers/safetyreps/role.htm

The Offshore Installations (Safety Representatives and Safety Committees) Regulations 1989;
http://www.opsi.gov.uk/si/si1989/Uksi_19890971_en_1.htm

The Health and Safety (Consultation with Employees) Regulations 1996;
http://www.opsi.gov.uk/SI/si1996/Uksi_19961513_en_1.htm

ANNEX C ASSESS WFI IN HEALTH AND SAFETY MANAGEMENT

This table should be used to assess the extent of WFI in key areas of health and safety management. More information on the different aspects of health and safety management, shown in this table, is provided in section 4. These questions are focused on health and safety but they can also be used to assess WFI in other areas of work.

Ticks in the "sometimes" and "seldom if ever" boxes may indicate areas for improvement. Ticks in the "yes often" box indicate areas that should be continued and fully supported.

Note: Please remember the main purpose of the tool is to get the reader thinking about the issues rather than providing a robust assessment of WFI.

Table C.1: Assessment of health and safety management.

Aspect of health and safety	How much are workers involved in the different aspects of health and safety management?	Not sure	Seldom if ever	Some-times	Yes, often
Equipment	Have workers been involved in reviewing existing safety equipment (PPE, lifting equipment etc)?				
	Have workers been involved in decisions to purchase new safety equipment (PPE, lifting equipment etc)?				
Workplace design	Have workers been involved in decisions to redesign the layout of the work environment when facilities are being rebuilt or refurbished?				
Task and procedure design	Have workers been involved in reviewing and/or developing safe working procedures?				
	Have workers ever been involved in improving the safe design of tasks or ways of working?				
Process safety	Have workers been involved in analysing or reviewing process safety arrangements?				
Risk assessment	Do workers regularly participate in risk assessments (manual handling, DSE, etc)?				
	Are workers actively involved in hazard spotting?				
	Do workers regularly participate in accident or incident investigation?				
	Do workers participate in helping to analyse risk and develop solutions (e.g. participation on HAZOP or HAZAN studies)?				
Communication	Have workers been involved in deciding on how to communicate better on health and safety matters (briefings, toolbox talks, safety signs etc)?				
Training	Do workers participate in helping to developing health and safety training (e.g. participation on training needs analysis)?				
Policy	Have workers been involved in helping management to develop the health and safety policy (e.g. mission statements)?				
	Have workers been involved in helping management to make decisions regarding health and safety roles & responsibilities?				
	Have workers been involved in helping management to set health and safety targets?				
Audit and review	Do workers participate in reviewing health and safety performance and help management to develop new objectives?				

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ANNEX D ASSESS INFLUENCING FACTORS

This following series of questions should be used to assess and understand the factors (barriers and enablers) that can influence the effectiveness of WFI. See section 3 for more information on how to use this table and interpret the results. More information about each of these factors is included in section 4.

D.1   INTERPRETING THE SCORES

Scores of 1 to 2 mean the factor(s) could be a potential barrier, which you may wish to address.

If the overall results are poor and most scores are between 1 and 2, there may be many issues that will need to be addressed. It is advisable to resolve these before starting on a programme or initiative to improve WFI. Scores of 4 to 5 mean the factor(s) is a potential enabler, which you may wish to promote or build upon.

If the results are good and most scores are between 4 and 5 then it may be possible to begin on a programme to improve WFI immediately.

Note: When scoring this assessment, remember that the purpose of the tool is to get the reader thinking about the issues rather than simply to get a quantifiable 'score'.

D.1.1   Attitude

1.	How do you rate the level of trust between the management and workers?					
Very poor		Adequate		Very good		Do not know
1	2	3	4	5		0
Can you give a reason for your answer?						

2.	Do you think workers are suspicious about the motivations for WFI?					
Suspicious		Not sure		Not suspicious		Do not know
1	2	3	4	5		0
Can you give a reason for your answer?						

3.	Do you think workers want to be more involved in health and safety?					
No		Not sure		Yes		Do not know
1	2	3	4	5		0
Can you give a reason for your answer?						

4.	Do you think things will change as a result of more WFI?					
No		Not sure		Yes		Do not know
1	2	3	4	5		0
Can you give a reason for your answer?						

D.1.2 Skills and knowledge

1.	**Do you think workers have sufficient knowledge of health and safety to participate in WFI?**					
No		Some do			Yes all	Do not know
1	2	3	4	5		0
If not, how could it be improved?						
2.	**Do you think workers have sufficient understanding of the process of involvement to participate in WFI?**					
No		Some do			Yes	Do not know
1	2	3	4	5		0
If not, how could it be improved?						
3.	**Do you think managers have sufficient competence in communicating, listening and negotiation skills?**					
No		Some do			Yes all	Do not know
1	2	3	4	5		0
If not, how could they be improved?						

D.1.3 Resourcing

1.	**Are workers given sufficient time, away from their duties, to participate in WFI?**					
No		Sometimes			Always	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						
2.	**Do you think workers are reluctant to participate in health and safety initiatives because they fear being overloaded with work?**					
Yes		No opinion			No	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						
3.	**Are rewards provided for participating in WFI?**					
No		Sometimes			Yes	Do not know
1	2	3	4	5		0
What rewards might help to increase participation?						

D.1.4   Behaviour

1.	Do you think managers demonstrate sufficient commitment to WFI?					
No		A little		Yes	⟶	Do not know
1	2	3	4	5		0
How could they demonstrate more commitment?						

2.	Do you think managers are capable and willing to change their behaviour to improve health and safety?					
No		A little		Yes	⟶	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						

3.	Do managers lead by example and demonstrate commitment to safety over and above commercial pressures?					
No		A little		Yes	⟶	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						

D.1.5   Communication

1.	Do you think workers might be reluctant to raise issues or concerns because they fear being blamed or getting colleagues into trouble?					
Never		Sometimes		Yes always	⟶	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						

2.	Is detailed feedback provided on the outcomes of WFI initiatives?					
No		Sometimes		Always	⟶	Do not know
1	2	3	4	5		0
How might feedback be provided?						

3.	Do you think it is easy for workers to raise issues and concerns?					
No		Sometimes		Yes	⟶	Do not know
1	2	3	4	5		0
What ways could make it easier to raise issues or concerns? help to increase participation?						

D.1.6 Cultural differences

1.	Do you think language or other cultural differences in your workplace make WFI in health and safety more difficult?					
Yes		Sometimes			No	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						
2.	**Do you think managers and workers have a different understanding of WFI?**					
Yes		Maybe			No	Do not know
1	2	3	4	5		0
Why? Can you give a reason for your answer?						

ANNEX E GLOSSARY OF TERMS AND ABBREVIATIONS

For the purposes of this publication, the interpretations below apply, irrespective of any meaning the words may have in any other connections.

consultation: provide workers with relevant information and an opportunity to express their views and take account of what they say before a decision is taken.

cultural differences: the language or value differences between people.

effective WFI: WFI that leads to a beneficial outcome.

employees: everyone that works for an organisation (encompassing managers, workers and contractors) in return for financial or other compensation.

facilitating discussions: discussions are run by an objective and neutral person with no perceived vested interest in the outcome of the discussions. Their role is to encourage open dialogue which remains focused on the topics and areas chosen for discussion.

feedback: a way to keep people informed about progress on an idea, event or initiative particularly those who have had input.

heath and safety: control and prevention of disease and injury caused by workplace influences.

Health and Safety Executive (HSE): the HSE help to ensure that risks to people's health and safety from work activities are properly controlled.

safety management system: the management system used to manage health and safety.

sustaining WFI: ensuring WFI continues to happen, and endures into the future rather than being a 'one-off' initiative.

workforce/workers: generally used to describe those working (including contractors) for a single company or industry excluding employers or management.

workforce involvement (WFI): generally used to describe the ways in which workers (including contractors) are encouraged to take part in the decision-making process about managing health and safety at work.

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